

State of Michigan
Evaluation of the Internal Control Structure (ICS)
In Effect During the Two-year Period Ended September 30, 20__

- Worksheet for Evaluating "General Controls" over Automated Information Systems -
Description of Departmental Activity: _____
Information System Evaluated: _____

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| <p>GENERAL CONTROLS</p> <p>[General controls provide the business and IT functions with a set of encompassing controls that are shared by several business or information system functional units, or support underlying functions that one or more applications rely on. General controls commonly include controls over data processing center operations, system software (not application software), databases, acquisition and maintenance, access security (both physical and logical), application systems development maintenance, and overall IT Department administration. These controls apply to all systems-mainframe, mini-computer, and end-user computing environments.]</p> |
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[illegible]

[illegible]

[illegible]

(1) Identify the activity (i.e., specific divisions, application owners/user agencies, vendor/contractor, etc.) responsible for IT process and associated internal controls.

*Your Department/Agency Management

****When possible, obtain applicable documentation and/or flowcharts for your future needs/requirements**

| IT ACQUISITION AND IMPLEMENTATION (AI) | | | Assessment of Actual Internal Controls - | | | | | | | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------------|--------------|----------------|----------------------------|----------------------------|-----------|--------------|--------------------------|----------------------------|------------------------------------------------------------------------------------------------------------|
| To realise the IT strategy, IT solutions need to be identified, developed or acquired, as well as implemented and integrated into the business process. In addition, changes in and maintenance of existing systems are covered by this domain to make sure that the life cycle is continued for these systems. | | | | | | | | | | | | |
| | | | | Existence**: | | | Performance/Effectiveness: | | | | | |
| OBJECTIVE: | POTENTIAL/LIKELY RISKS: | OPTIMAL INTERNAL CONTROLS (To address risks): | Agency, Division/Office, and Staff (DIT) responsible for IT process and related internal controls: (1) | Documented | Not Documented | Not Sure or Not Applicable | Excellent | Very Good | Satisfactory | Ineffective/ Inefficient | Not Sure or Not Applicable | Description/Comments (Explanation of written procedures/practices: control system strengths & weaknesses): |

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[illegible]

[illegible]

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| Manage problems & incidents CobiT Reference: DS 10.0 | No resolution to problems or incidents unable to identify their cause in order; to prevent recurrence. | Has management* implemented a problem management system to record progress of all incident resolutions? (Refer to “Control Objectives” 10.1 - 10.3 to determine whether the objective has been met) | | | | | | | | | | |
| | | | | | | | | | | | | |
| Manage Data CobiT Reference: DS 11.0 | Incomplete, inaccurate or invalid data during input, update & storage. | Has management* implemented effective application & general controls over IT operations? (Refer to “Control Objectives” 11.17, 11.18, 11.27-11.29, to determine whether the objective has been met) | | | | | | | | | | |
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| Manage Facilities CobiT Reference: DS 12.0 | Unsuitable physical surroundings, does not protect IT equipment or personnel against man-made or natural hazards. | Have appropriate environmental & physical controls been installed and are these controls regularly reviewed for proper functionality? (Refer to “Control Objectives” 12.1 - 12.6 to determine whether the objective has been met) | | | | | | | | | | |
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| Manage Operations CobiT Reference: DS 13.0 | Failure to adequately perform orderly, periodic, critical IT support functions. | Is an operations schedule of recorded/cleared support activities maintained? (Refer to “Control Objectives” 13.1 - 13.7 to determine whether the objective has been met) | | | | | | | | | | |
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| Provide for independent audit CobiT Reference: M 4.0 | Failure to increase confidence levels in economy, efficiency, effectiveness of IT internal control and security environment; failure to benefit from best practice advice. | Are periodic independent audits conducted? (Refer to “Control Objectives” 4.1 - 4.8 to determine whether the objective has been met) | | | | | | | | | | |
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General Controls - Overall Conclusion/Control System Strengths and Weaknesses

(1) Identify the activity (i.e., specific divisions, application owners/user agencies, vendor/contractor, etc.) responsible for IT process and associated internal controls.
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I certify that this evaluation of the **Risks and Control Activities** in Automated Information Systems, for the activity defined as _____, in effect during the two-year period ended 9/30/____ has been conducted in a reasonable and prudent manner, and I concur with the conclusions documented above as a result of this evaluation.

Activity Level Manager Signature

Date